

PTO/SB/17 (01-03)

Approved for use through 04/30/2003. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 180.00

## Complete if Known

Application Number 10/772,823  
 Filing Date February 5, 2004  
 First Named Inventor Simon Mawson et al.  
 Examiner Name Cheung, William K.  
 Art Unit 1713  
 Attorney Docket No. 2000U042D1.US-CON2

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☒ Deposit Account:
 Deposit  
 Account  
 Number  
 Deposit  
 Account  
 Name

50-0589

Univation Technologies

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☐ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

## 1. BASIC FILING FEE

| Large Entity<br>Fee Code (\$) | Small Entity<br>Fee Code (\$) | Fee Description        | Fee Paid |
|-------------------------------|-------------------------------|------------------------|----------|
| 1001 750                      | 2001 375                      | Utility filing fee     |          |
| 1002 330                      | 2002 165                      | Design filing fee      |          |
| 1003 520                      | 2003 260                      | Plant filing fee       |          |
| 1004 750                      | 2004 375                      | Reissue filing fee     |          |
| 1005 160                      | 2005 80                       | Provisional filing fee |          |
| SUBTOTAL (1) (\$)             |                               |                        | 0.00     |

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims              | Extra Claims | Fee from below | Fee Paid |
|---------------------------|--------------|----------------|----------|
| Independent Claims        | -20** = 0    | 18             | 0        |
| Multiple Dependent Claims | -3** = 0     | 84             | 0        |
|                           |              | 280            | 0        |

| Large Entity<br>Fee Code (\$) | Small Entity<br>Fee Code (\$) | Fee Description  | Fee Paid |
|-------------------------------|-------------------------------|--|----------|
| 1202 18                       | 2202 9                        | Claims in excess of 20                                     |          |
| 1201 84                       | 2201 42                       | Independent claims in excess of 3                          |          |
| 1203 280                      | 2203 140                      | Multiple dependent claim, if not paid                      |          |
| 1204 84                       | 2204 42                       | ** Reissue independent claims over original patent         |          |
| 1205 18                       | 2205 9                        | ** Reissue claims in excess of 20 and over original patent |          |
| SUBTOTAL (2) (\$)             |                               |  | 0.00     |

\*\*or number previously paid, if greater. For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

| Large Entity<br>Fee Code (\$) | Small Entity<br>Fee Code (\$) | Fee Description  | Fee Paid |
|-------------------------------|-------------------------------|--|----------|
| 1051 130                      | 2051 65                       | Surcharge - late filing fee or oath  |          |
| 1052 50                       | 2052 25                       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053 130                      | 2053 65                       | Non-English specification  |          |
| 1812 2,520                    | 2812 1,260                    | For filing a request for ex parte reexamination                            |          |
| 1804 820*                     | 2804 410*                     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805 1,840*                   | 2805 920*                     | Requesting publication of SIR after Examiner action                        |          |
| 1251 110                      | 2251 55                       | Extension for reply within first month                                     |          |
| 1252 410                      | 2252 205                      | Extension for reply within second month                                    |          |
| 1253 930                      | 2253 465                      | Extension for reply within third month                                     |          |
| 1254 1,450                    | 2254 725                      | Extension for reply within fourth month                                    |          |
| 1255 1,970                    | 2255 985                      | Extension for reply within fifth month                                     |          |
| 1401 320                      | 2401 160                      | Notice of Appeal   |          |
| 1402 320                      | 2402 160                      | Filing a brief in support of an appeal                                     |          |
| 1403 280                      | 2403 140                      | Request for oral hearing   |          |
| 1451 1,510                    | 2451 755                      | Petition to institute a public use proceeding                              |          |
| 1452 110                      | 2452 55                       | Petition to revive - unavoidable   |          |
| 1453 1,300                    | 2453 650                      | Petition to revive - unintentional   |          |
| 1501 1,300                    | 2501 650                      | Utility issue fee (or reissue)   |          |
| 1502 470                      | 2502 235                      | Design issue fee   |          |
| 1503 630                      | 2503 315                      | Plant issue fee  |          |
| 1460 130                      | 2460 65                       | Petitions to the Commissioner  |          |
| 1807 50                       | 2807 25                       | Processing fee under 37 CFR 1.17(q)  |          |
| 1808 180                      | 2808 90                       | Submission of Information Disclosure Stmt                                  | 180.00   |
| 8021 40                       | 2801 20                       | Recording each patent assignment per property (times number of properties) |          |
| 1809 750                      | 2809 375                      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810 750                      | 2810 375                      | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801 750                      | 2801 375                      | Request for Continued Examination (RCE)                                    |          |
| 1802 900                      | 2802 450                      | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 180.00

## SUBMITTED BY

Name (Print/Type) Kevin M. Faulme  
 Signature *Kevin M. Faulme*  
 Registration No. (Attorney/Agent) 45,427  
 Telephone 713-892-3729  
 Date 10/20/04

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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for FY 2003**

Effective 01/01/2003, Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 180.00

**Complete if Known**

|                      |                     |
|----------------------|---------------------|
| Application Number   | 10/772,823          |
| Filing Date          | February 5, 2004    |
| First Named Inventor | Simon Mawson et al. |
| Examiner Name        | Cheung, William K.  |
| Art Unit             | 1713                |
| Attorney Docket No.  | 2000U042D1.US-CON2  |

**METHOD OF PAYMENT (check all that apply)**☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:

|                        |                        |
|------------------------|------------------------|
| Deposit Account Number | 50-0589                |
| Deposit Account Name   | Univation Technologies |

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account
**FEE CALCULATION****1. BASIC FILING FEE**

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| 1005 160                   | 2005 80                    | Provisional filing fee |                  |
| <b>SUBTOTAL (1)</b>        |                            |                        | <b>(\$)</b> 0.00 |

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

|                           |           |   |     |   |   |
|---------------------------|-----------|---|-----|---|---|
| Total Claims              | -20** = 0 | x | 18  | = | 0 |
| Independent Claims        | -3** = 0  | x | 84  | = | 0 |
| Multiple Dependent Claims |           |   | 280 | = | 0 |

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  | Fee Paid         |
|----------------------------|----------------------------|--|------------------|
| 1202 18                    | 2202 9                     | Claims in excess of 20                                     |                  |
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| 1205 18                    | 2205 9                     | ** Reissue claims in excess of 20 and over original patent |                  |
| <b>SUBTOTAL (2)</b>        |                            |  | <b>(\$)</b> 0.00 |

\*\*or number previously paid, if greater. For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  | Fee Paid |
|----------------------------|----------------------------|--|----------|
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| 1052 50                    | 2052 25                    | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053 130                   | 2053 65                    | Non-English specification  |          |
| 1812 2,520                 | 1812 2,520                 | For filing a request for ex parte reexamination                            |          |
| 1804 920*                  | 1804 920*                  | Requesting publication of SIR prior to Examiner action                     |          |
| 1805 1,840*                | 1805 1,840*                | Requesting publication of SIR after Examiner action                        |          |
| 1251 110                   | 2251 55                    | Extension for reply within first month                                     |          |
| 1252 410                   | 2252 205                   | Extension for reply within second month                                    |          |
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| 1254 1,450                 | 2254 725                   | Extension for reply within fourth month                                    |          |
| 1255 1,970                 | 2255 985                   | Extension for reply within fifth month                                     |          |
| 1401 320                   | 2401 160                   | Notice of Appeal   |          |
| 1402 320                   | 2402 160                   | Filing a brief in support of an appeal                                     |          |
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| 1451 1,510                 | 1451 1,510                 | Petition to institute a public use proceeding                              |          |
| 1452 110                   | 2452 55                    | Petition to revive - unavoidable   |          |
| 1453 1,300                 | 2453 650                   | Petition to revive - unintentional   |          |
| 1501 1,300                 | 2501 650                   | Utility issue fee (or reissue)   |          |
| 1502 470                   | 2502 235                   | Design issue fee   |          |
| 1503 830                   | 2503 315                   | Plant issue fee  |          |
| 1460 130                   | 1460 130                   | Petitions to the Commissioner  |          |
| 1807 50                    | 1807 50                    | Processing fee under 37 CFR 1.17(a)  |          |
| 1808 180                   | 1808 180                   | Submission of Information Disclosure Sum                                   | 180.00   |
| 8021 40                    | 8021 40                    | Recording each patent assignment per property (times number of properties) |          |
| 1809 750                   | 2809 375                   | Filing a submission after final rejection (37 CFR 1.128(a))                |          |
| 1810 750                   | 2810 375                   | For each additional invention to be examined (37 CFR 1.128(b))             |          |
| 1801 750                   | 2801 375                   | Request for Continued Examination (RCE)                                    |          |
| 1802 900                   | 1802 900                   | Request for expedited examination of a design application                  |          |

Other fee (specify):

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 180.00

**SUBMITTED BY**

Name (Print/Type) Kevin M. Faulkner

Signature

Registration No.

45,427

(Attorney/Agent)

Telephone 713-892-3729

Date

10/20/04

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

|   |   |   |                                |
|---|---|---|--------------------------------|
| <b>TRANSMITTAL OF SUPPLEMENTAL<br/>INFORMATION DISCLOSURE STATEMENT<br/>UNDER 37 CFR § 1.97(b), 1.97(c), or 1.97(d)</b> |   | <b>Attay. Docket No.<br/>2000U042D1.US-CON2</b> |                                |
| <b>In Re Application of: Simon Mawson et al.</b>  |   |   |                                |
| <b>U.S. Serial No.<br/>10/772,823</b>   | <b>Filing Date<br/>February 5, 2004</b> | <b>Examiner<br/>Cheung, William K.</b>          | <b>Group Art Unit<br/>1713</b> |

Address to:  
Mail Stop AF  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**37 CFR § 1.97(b)**

- ☐ The Information Disclosure Statement submitted herewith is being filed within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d); within three months of the date of entry of the national stage as set forth in § 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.

**37 CFR § 1.97(c)**

- ☒ The Information Disclosure Statement submitted herewith is being filed after three months of the filing date of a national application other than a continued prosecution application under § 1.53(d); after three months of the date of entry of the national stage as set forth in § 1.491 in an international application; after the mailing of a first Office Action on the merits; or after the mailing of a first Office Action after the filing of a request for continued examination under § 1.114, but before the mailing date of:

1. a Final Action under § 1.113,
2. a Notice of Allowance under § 1.311, or
3. an action that otherwise closes prosecution in the application,

and is accompanied by either:

- ☒ the fee as set forth in § 1.17(p), or  
☐ the following statement under § 1.97(e)(1): each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

**37 CFR § 1.97(d)**

- ☐ The Information Disclosure Statement submitted herewith is being filed after a Final Action under § 1.113, a Notice of Allowance under § 1.311, or an action that otherwise closes prosecution in the application, but before, or simultaneously with, the payment of the issue fee. Submitted herewith is the fee as set forth in § 1.17(p) and the following statement under 37 CFR § 1.97(e)(1): each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

Applicant hereby request consideration of the Information Disclosure Statement, USPTO form 1449, submitted herewith.

☒ Legible copies of the references are enclosed.

☒ This application is a:  
☒ Continuation / Divisional,  
☐ Continuation-in-Part,

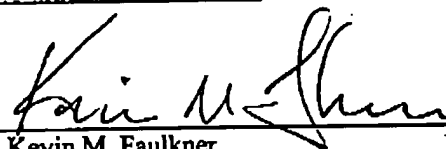
of U.S.S.N. 09/459,160 filed on June 11, 2003, a divisional of U.S.S.N. 09/729,453 filed on December 4, 2000, now issued as U.S. 6,608,149 B2. Copies of the cited references are:

☒ enclosed; ☐ not enclosed. References are available in the parent application(s) if not enclosed.

The Commissioner is hereby authorized to charge any additional fees which may be required by this paper, or credit any overpayment, to Deposit Account Number 50-0589.

Date

10/20/04

  
Kevin M. Faulkner  
Registration No. 45,427  
Univation Technologies, L.L.C.  
5555 San Felipe, Suite 1950  
Houston, Texas 77056-2723  
(713) 892-3729 Voice  
(713) 892-3687 Facsimile

FORM - 1449

SHEET 1 OF 1

|  |    |   |            |                     |       |            |                            |
|--|----|---|------------|---------------------|-------|------------|----------------------------|
| <b>INFORMATION DISCLOSURE STATEMENT</b><br><br><i>(Use several sheets if necessary)</i>  |    |   |            | ATTY. DOCKET NO.    |       | SERIAL NO. |                            |
|  |    |   |            | 2000U042D1.US-CON2  |       | 10/772,823 |                            |
|  |    |   |            | APPLICANT           |       |            |                            |
|  |    |   |            | Simon Mawson et al. |       |            |                            |
|  |    |   |            | FILING DATE         |       | GROUP      |                            |
| 02/05/2004   |    | 1713  |            |                     |       |            |                            |
| U.S. PATENT DOCUMENTS  |    |   |            |                     |       |            |                            |
| *EXAMINER INITIAL  |    | DOCUMENT NUMBER   | DATE       | NAME                | CLASS | SUBCLASS   | FILING DATE IF APPROPRIATE |
|  | AA |   |            |                     |       |            |                            |
|  | AB |   |            |                     |       |            |                            |
|  | AC |   |            |                     |       |            |                            |
|  | AD |   |            |                     |       |            |                            |
| FOREIGN PATENT DOCUMENTS   |    |   |            |                     |       |            |                            |
|  |    | DOCUMENT NUMBER   | PUBL. DATE | COUNTRY             | CLASS | SUBCLASS   | TRANSLATION                |
|  |    |   |            |                     |       |            | YES NO                     |
|  | AE |   |            |                     |       |            |                            |
|  | AF |   |            |                     |       |            |                            |
|  | AG |   |            |                     |       |            |                            |
|  | AH |   |            |                     |       |            |                            |
|  | AI |   |            |                     |       |            |                            |
|  | AJ |   |            |                     |       |            |                            |
|  | AK |   |            |                     |       |            |                            |
|  | AL |   |            |                     |       |            |                            |
|  | AM |   |            |                     |       |            |                            |
|  | AN |   |            |                     |       |            |                            |
|  | AO |   |            |                     |       |            |                            |
|  | AP |   |            |                     |       |            |                            |
|  | AQ |   |            |                     |       |            |                            |
|  | AR |   |            |                     |       |            |                            |
| OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages of Publication, Etc.)  |    |   |            |                     |       |            |                            |
|  | AS | Fahey, Darryl R., et al. "Application of Metallocene Catalysts to Large-scale Slurry Loop Reactors" E100 Resins for Pipe Applications: Continuing the Development into the 21 <sup>st</sup> Century" Metallocene-based Polyolefins, Preparation, properties and technology, Vol. 2 321-325 (2000) |            |                     |       |            |                            |
|  | AT |   |            |                     |       |            |                            |
| EXAMINER   |    |   |            | DATE CONSIDERED     |       |            |                            |
| *EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line though citation if not in conformance and not considered. Include copy of this form with next comment to applicant |    |   |            |                     |       |            |                            |